

ASI CERTIFICATION PERFORMANCE STANDARD



PRESENTED TO

Alcoa World Alumina (AWA) Juruti Mine

CERTIFICATE NUMBER

32

ASI STANDARD

PERFORMANCE
STANDARD
(V3.1 2023)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

18 JULY 2025

DATE OF EXPIRY

17 JULY 2028

CERTIFIED SINCE

17 JULY 2019

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', followed by a horizontal line.

CERTIFICATION SCOPE

Alcoa World Alumina (AWA) Juruti Mine (Brazil) including the port, ore beneficiation and administrative facilities.

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
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Validity of this Certificate is subject to continued conformance with the applicable ASI Standard and can be verified at
www.aluminium-stewardship.org

AUDIT REPORT PERFORMANCE STANDARD

OVERVIEW

MEMBER NAME	Alcoa Corporation
ENTITY NAME	Alcoa World Alumina (AWA) Juruti Mine
CERTIFICATION SCOPE	Alcoa World Alumina (AWA) Juruti Mine (Brazil) including the port, ore beneficiation and administrative facilities.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Bauxite Mining
ASI STANDARD	Performance Standard V3.1
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (23 – 25 April 2019)Re-Certification Audit (26 – 29 April 2022)Surveillance Audit (13 – 16 November 2023)Re-Certification Audit and Scope Change (31 March – 4 April 2025)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">23 – 25 April 2019 (Initial Certification Audit)26 – 16 April 2022 (Re-Certification Audit)13 – 16 November 2023 (Surveillance Audit)31 March – 4 April 2025 (Re-Certification Audit and Scope Change)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">17 May 2019 (Initial Certification Audit)9 June 2022 (Re-Certification Audit)19 December 2023 (Surveillance Audit)11 July 2025 (Re-Certification Audit and Scope Change)
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 25 April 2019)</u></p> <p>The Audit Scope covered Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Bauxite Mining <p>All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.</p> <p><u>Re-Certification Audit (26 – 29 April 2022)</u></p> <p>The Audit Scope covered Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Bauxite Mining <p>All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.</p>

Surveillance Audit (13 – 16 November 2023)

The Audit Scope covered Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.

Supply chain activities included in the Audit Scope:

- Bauxite Mining

All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.

Re-Certification Audit and Scope Change (31 March – 4 April 2025)

The Audit Scope covered Alcoa World Alumina (AWA) Juruti Mine including the port, ore beneficiation and administrative facilities.

Supply chain activities included in the Audit Scope:

- Bauxite Mining

All relevant Criteria in the ASI Performance Standard were included in the Audit Scope.

AUDIT OUTCOME

- Certification

AUDIT METHODOLOGY
DECLARATION

The Auditors confirm that:

- ☒ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
- ☒ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- ☒ The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
- ☒ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

CERTIFICATION PERIOD

18 July 2025 – 17 July 2028

NEXT AUDIT TYPE

Surveillance Audit

NEXT AUDIT DATE

17 January 2027

CERTIFICATE NUMBER

32



If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

ENTITY OVERVIEW

Alcoa Juruti (the 'Entity') is a Bauxite mining unit of Alcoa (Aluminum Company of America) Corporation, located in the municipality of Juruti, in western Pará, Brazil. The Entity commenced production in 2009 and is a strategic asset for Alcoa in terms of a raw material supply, with the Entity producing approximately seven million tonnes of Bauxite per annum. The implementation of the mine was accompanied by commitments to sustainability and social impact and had to consider significant concerns and pressure from local communities and Non-Government Organisations (NGOs) due to inherent environmental and social issues.

Bauxite is transported by barge on the Amazon River to Alcoa's refinery located in São Luís, Maranhão, or for export to international customers. The Entity generates significant direct and indirect employment in the region, currently employing nearly 1,000 persons on site, as well as directly investing in local social and environmental programs.

The Entity is fully (100%) controlled by Alcoa Corporation, since it acquired Alumina Limited in 2024.

MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

	GOVERNANCE	ENVIRONMENT	SOCIAL	COMBINED RATING
SYSTEMS	High	High	Medium	HIGH
RISKS	High	High	High	HIGH
PERFORMANCE	Medium	Medium	Medium	MEDIUM
OVERALL	HIGH			

FINDINGS

CRITERION	RATING	COMMENT
1. BUSINESS INTEGRITY		
1.1 Legal Compliance	Conformance	The Entity has systems in place to maintain awareness of, and ensure Compliance with Applicable Law and seek to understand and comply with relevant aspects of Customary Law, through the Legal Requirements Management procedure, audit of legal requirements and the Legal Requirements Spreadsheet included on a platform contracted for surveys of legal requirements. In addition, the Entity holds valid ISO 14001 and ISO 45001 certifications.
1.2 Anti-Corruption	Conformance	<p>The Entity has demonstrated that it works against Corruption in all its forms, including Extortion and Bribery, in accordance with Applicable Law and through its Code of Conduct and Anti-Corruption Policy. Refer to:</p> <p>https://www.alcoa.com/global/pt/quem-somos/ética-conformidade/pdf/code-conduct/Alcoa-Code-of-Conduct_BR.pdf and</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/anti-corruption/AntiCorruption_Policy_Portuguese.pdf</p> <p>Financial transactions are monitored by specialised teams and periodically evaluated by consultants hired to validate all the Entity's financial operations. The receipt of gifts is not permitted to any representative of the Entity without prior evaluation and authorisation from the compliance function.</p> <p>The Entity uses a computerised management system for the local monitoring of Compliance with legal requirements. Any allegations or incidents can be made via:</p> <p>https://secure.ethicspoint.com/domain/media/en/gui/29154/index.html (Global) EthicsandCompliance@alcoa.com Phone: 0800-891-2552 (Brazil only) https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line</p>
1.3a-e Code of Conduct	Conformance	<p>The Entity has a documented Code of Conduct that is communicated to all Stakeholders. The Code of Conduct is available at:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/code-conduct/Alcoa-Code-of-Conduct_BR.pdf</p> <p>Also refer to:</p> <p>https://www.alcoa.com/brasil/pt/pdf/Declaracao-Responsabilidade-Fornecedor.pdf and</p> <p>https://www.alcoa.com/brasil/pt/pdf/Modelo-Minuta-Contratual-Servicos-Alcoa.pdf</p>
2. POLICY AND MANAGEMENT		
2.1a-f Environmental, Social, and Governance Policy	Conformance	The Entity has implemented and maintained a series of Policies consistent with environmental, social, and governance practices. The Policies have been approved by the General Manager and are supported through the provision of appropriate resources. The Entity has also established both an Environmental, Health and Safety

CRITERION	RATING	COMMENT
		<p>Management System and a Social Responsibility Management System.</p> <p>The Management Systems are reviewed annually, or when any changes to the Business that alter Material environmental, social and governance risk(s) or on any indication of a control gap. The Policies are communicated internally at new employee orientation and via ongoing 'refresher' training.</p> <p>EHS Vision, Values, Mission, and Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf</p> <p>Alcoa's Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>Social Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/social-policy/social-policy-en.pdf</p>
2.2a-c Leadership	Conformance	The Entity has both local and global managers to ensure that the ASI Performance Standard requirements are appropriately achieved.
2.3a Environmental and Social Management Systems – Environmental	Conformance	The Entity has documented and locally implemented an integrated Environmental Management System which is independently certified to ISO 14001.
2.3b Environmental and Social Management Systems – Social	Conformance	The Entity has implemented documented Environmental and Social Management Systems.
2.4a-e Responsible Sourcing	Conformance	<p>The Entity has established and implemented an adequate Responsible Sourcing Policy (Alcoa's Supplier Standards) to evaluate suppliers and subcontractors. The Entity has a robust process for negotiating with landowners and defining easement agreements. The Policy is available at:</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/supplier-standard</p>
2.5a-g Environmental and Social Impact Assessments	Not Applicable	This Criterion is not applicable to the Entity as there have been no New Projects or Major Changes since the Entity became a member of ASI in 2015.
2.6a-h Human Rights Impact Assessment	Not Applicable	This Criterion is not applicable to the Entity as there have been no New Projects or Major Changes since the Entity became a member of ASI in 2015.
2.7a-f Emergency Response Plan	Conformance	<p>The Entity has demonstrated the implementation of Emergency Response Plans, including the participation of internal and external Stakeholders. Simulations and drills are conducted at periodic intervals to evaluate the effectiveness of the Plans.</p> <p>The Entity has publicly released the Emergency Action Plan at: https://app.box.com/file/156594266290</p>

CRITERION	RATING	COMMENT
2.8a-d Suspended Operations	Conformance	The Entity has developed a Crisis Management Plan to manage situations in which it may have to suspend or significantly alter operations due to factors beyond its control, and which considers relevant adverse environmental, social and governance impacts.
2.9a-b Mergers and Acquisitions	Conformance	The Entity has defined the corporate process for mergers, acquisitions and divestitures and a strategy for entering a new country.
2.10a-b Closure, Decommissioning and Divestment	Conformance	The Entity has adequately defined the site closure plan containing all phases and investments required to close the site.
3. TRANSPARENCY		
3.1a-b Sustainability Reporting	Conformance	<p>The Entity publicly discloses its governance approach and Material environmental, social and economic impacts in the Alcoa Sustainability Report 2023, available at: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p> <p>Brazil-specific sustainability-related disclosures are available at: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p>
3.2 Non-compliance and Liabilities	Conformance	The Entity discloses any significant fines, sentences, penalties, and non-monetary sanctions for non-compliance with Applicable Law, within the Alcoa Sustainability Report.
3.3a-c Payments to Governments	Conformance	<p>The Entity's consolidated financial statements disclose the amounts paid from consolidated operations in Brazil and are presented in accordance with the materiality levels used for disclosure. Information on the Entity's compliance and performance on financial and compliance issues is available at: https://investors.alcoa.com/investor-overview/default.aspx</p> <p>Also refer to: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct and https://www.alcoa.com/global/en/who-we-are/ethics-compliance/anti-corruption</p>
3.4a-f Stakeholder Complaints, Grievances and Requests for Information	Conformance	<p>The Entity has established an Integrity Line or 'Transparency Hotline', with details communicated on the Entity's website, on-site bulletin boards and intranet. Direct and indirect Workers, suppliers, the community and other Stakeholders can anonymously submit reports to the Transparency Channel and indicate how they wish to be contacted. Information on the Alcoa Integrity Line is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/integrity-line/Integrity_Line_Card_English.pdf and https://www.alcoa.com/global/en/who-we-are/ethics-compliance/integrity-line</p> <p>The Integrity Line is accessible globally to seek advice or raise concerns, and is available 24 hours a day, 7 days a week, in multiple languages, at a secure, independent website: https://secure.ethicspoint.com/domain/media/en/gui/29154/index.html</p>

CRITERION	RATING	COMMENT
4. MATERIAL STEWARDSHIP		
4.1a Environmental Life Cycle Assessment	Conformance	The Entity has evaluated the life cycle impacts of its major product lines for which Aluminium is considered or used, based on ISO 14040:2006 and ISO 14044:2006.
4.1b-c Environmental Life Cycle Assessment – Disclosure	Conformance	<p>The Entity has developed the Life Cycle Assessment (LCA) for Bauxite and Alumina with a ‘cradle-to-gate’ approach which is made available to customers upon request. Refer to the Alcoa Sustainability Report 2023, available at: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p> <p>Information on LCAs for Bauxite and Alumina are available upon request. The publicly shared reports include underlying assumptions and system boundaries.</p>
4.2 Product Design	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
4.3a-b Aluminium Process Scrap	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
4.4a-c Collection and Recycling of Products at End of Life – Material Conversion and other Manufacturing	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
4.4d Collection and Recycling of Products at End of Life	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.
5. GREENHOUSE GAS EMISSIONS		
5.1a-b Disclosure of GHG Emissions and Energy Use	Conformance	<p>The Entity accounts for and publicly discloses its energy use and Scopes 1-3 Greenhouse Gases (GHG) Emissions by source annually. All publicly disclosed energy data and GHG Emissions are independently verified and validated before publication. The Entity also takes part in the Brazilian GHG Protocol Program, and the reported emissions are Third Party verified. Public information on emissions is available in the Public Emissions Register at: https://registropublicodeemissoes.fgv.br/estatistica/estatistica-participantes/990 and https://registropublicodeemissoes.fgv.br/f7437229-d777-4d8a-baa1-6b891e234225</p> <p>Also refer to: Alcoa 2023 Sustainability Report on Page 69: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p> <p>ESG Performance 2023 (Brazil) on Page 36: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p>
5.2a Aluminium Smelter GHG Emissions Intensity –	Not Applicable	This Criterion is not applicable to the Entity’s Certification Scope.

CRITERION	RATING	COMMENT
Started production after 2020		
5.2b Aluminium Smelter GHG Emissions Intensity – In production up to and including 2020	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.3a GHG Emissions Reduction Plans	Conformance	<p>The Entity operates under the Alcoa Corporate GHG Emissions Reduction Plan, which is consistent with a 1.5°C warming scenario. The Corporate Plan aims to reduce emissions by 30% by 2025, 50% by 2030 and aims for carbon neutrality by 2050. The GHG Emissions Reduction Plan is consistent with the ASI endorsed methodology.</p> <p>The Alcoa Climate Change Policy, inclusive of the GHG Emissions Reduction Plan is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/climate-change-policy</p>
5.3b-e GHG Emissions Reduction Plans – Targets, review and disclosure	Conformance	<p>The Entity operates under the Alcoa Corporate GHG Emissions Reduction Plan, which is consistent with a 1.5°C warming scenario. The Corporate Plan aims to reduce emissions by 30% by 2025, 50% by 2030 and aims for carbon neutrality by 2050. The GHG Emissions Reduction Plan is consistent with the ASI endorsed methodology. The Alcoa Climate Change Policy, inclusive of the GHG Emissions Reduction Plan is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/climate-change-policy</p> <p>Alcoa publicly discloses progress against the GHG Emissions Reduction Plan on an annual basis through its annual Sustainability Report at: https://www.alcoa.com/sustainability</p>
5.4 GHG Emissions Management	Conformance	The Entity has a comprehensive Management System to control and mitigate GHG Emissions, including via participation in the Brazilian GHG Protocol Program. The Entity has established a GHG Emissions Management Procedure and an emission source identification table to monitor GHG emissions and achieve performance aligned with the GHG Emissions Reduction Plan and targets.
6. EMISSIONS, EFFLUENTS AND WASTE		
6.1a-f Emissions to Air	Conformance	<p>The Entity identifies, measures and analyses its Emissions to Air and processes in compliance with legal requirements and has procedures in place to ensure prior identification of changes and new sources of atmospheric emissions, as well as to ensure emissions are analysed in accordance with new or existing legal standards and promptly inventoried.</p> <p>The Entity's air quality monitoring plan is reviewed every three years, and this review considers values that exceed the limits established by law, as well as operational and business changes. The results of the plan are published annually by the environmental agency in compliance with the operating license conditions, available at: https://registropublicodeemissoes.fgv.br/estatistica/estatistica-participantes/990</p>
6.2a-g Discharges to Water	Conformance	The Entity has quantified, monitored and reported Discharges into Water that may have adverse effects on humans or the environment to the environmental agency in compliance with the operating license

CRITERION	RATING	COMMENT
		<p>conditions and in the Alcoa Sustainability Report 2023. Refer to: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p>
6.3a-g Assessment and Management of Spills and Leakages	Conformance	<p>The Entity has maintained an updated evaluation process of the specific areas of operations where Spills and Leakages could contaminate air, water and/or soil. This is facilitated via the Environmental Aspects and Impacts Worksheets. The Entity has developed an external communication plan, compliance controls and a monitoring program in place to prevent and detect Spills and Leakages.</p> <p>An Emergency Response Plan has been developed with the use of risk analysis techniques applied to the Entity's facilities, through the coordination of the Environment and Labor Safety Department and in collaboration with technicians and operators. The Entity has a defined Individual Emergency Plan which lists the official institutions that must be communicated immediately, regardless of the volume spilled.</p> <p>The Entity has an appropriate system in place to communicate to affected parties the volume, type, and potential impact of significant Spills immediately following an incident. Additional information on Spills is disclosed in the Alcoa 2023 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p>
6.4a-b Public Disclosure of Spills and Leakages	Conformance	<p>The Entity has developed and implemented procedures for the investigation of Spills and the internal and external communication related to environmental incidents.</p> <p>The Entity has developed and implemented procedures for the investigation of Spills and the internal and external communication related to environmental incidents. Alcoa has included information on significant Spills across its global operations in the 2023 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p>
6.5a-c Waste Management and Reporting	Conformance	<p>The Entity has established environmental targets for waste generation and disposal, including the reduction of landfilled waste by 15 percent by 2025 and 25 percent by 2030, from a 2015 baseline and the reduction of Bauxite Residue land requirements per metric tonne of Alumina produced by 15 percent by 2030, from a 2015 baseline: https://www.alcoa.com/sustainability/en/sustainability-at-alcoa/strategic-long-term-goals</p> <p>The Entity has also publicly disclosed the amount of Hazardous and Non-Hazardous Waste generated from its operations and the corporate goals to reduce and/or eliminate it. Environmental performance on waste generation and disposal is published in the Alcoa 2023 Sustainability Report: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf#page=89</p>
6.6a-g Bauxite Residue	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.7a-f Spent Pot Lining (SPL)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
6.8a-d Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7. WATER STEWARDSHIP		
7.1a-b Water Assessment and Disclosure	Conformance	<p>The Entity has evaluated and monitors water-related risks related to the abstraction, consumption, and destination of water and periodically reports its performance to the Environmental Agency. The Entity communicates its performance and strategic actions on water resources management in the Alcoa 2023 Sustainability Report on Page 89-95:</p> <p>https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf#page=89</p>
7.2a-e Water Management	Conformance	<p>The Entity has implemented water management plans, developed in conjunction with Affected Populations and Organisations, with contextual and time-bound goals that address the Material risks identified and strategic actions on water resource management in the Alcoa 2023 Sustainability Report Page 89-95:</p> <p>https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf#page=89</p>
8. BIODIVERSITY AND ECOSYSTEM SERVICES		
8.1a Biodiversity and Ecosystem Services Risk and Impact Assessment	Conformance	<p>The Entity has implemented Environmental Control Plans as part of the Socio-environmental Management Program to mitigate the impacts related to the operation of the site and its potential impact on Biodiversity. The Biodiversity Plan, based on the inventory, diagnosis, and survey of impacts, uses an appropriate methodology, which contemplates the risks and materiality of the impacts on Biodiversity.</p> <p>The Entity's Biodiversity Policy is available at: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/biodiversity-policy/Biodiversity-Policy-EN.pdf</p> <p>Also refer to: Alcoa 2023 Sustainability Report on Page 81: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p> <p>ESG Performance 2023 (Brazil) on Page 37: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p>
8.1b Biodiversity and Ecosystem Services Risk and Impact Assessment - Priority	Conformance	<p>The Entity has demonstrated that in situations where it contributes to, or is likely to have an impact on Ecosystem Services, it undertakes a systematic assessment, in consultation with and, where possible, with the participation of Affected Populations and Organisations, to identify Priority Ecosystem Services that are relevant to Affected Populations and Organisations.</p> <p>Further information is available in the ESG Performance 2023 (Brazil) Page 37: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p>
8.2a-g Biodiversity Management	Conformance	<p>The Entity has implemented a Biodiversity Action Plan to address key aspects identified in its Biodiversity risk assessment. For the Entity's mining units, the quality of rehabilitation is verified by studies and scientific research undertaken through a partnership with the Federal</p>

CRITERION	RATING	COMMENT
		<p>University. The Entity has developed a Biodiversity Action Plan in accordance with the Biodiversity Mitigation Hierarchy and has demonstrated that the Biodiversity Action Plan includes 'time-bound' targets to address Material risks and impacts. For further information refer to:</p> <p>Alcoa Biodiversity Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/biodiversity-policy/Biodiversity-Policy-EN.pdf</p> <p>Juruti Fact Sheet: https://www.alcoa.com/brasil/pt/pdf/brasil-juruti-fact-sheet.pdf</p> <p>ESG Performance 2023 (Brazil) Page 37: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p>
8.3a-c Management of Priority Ecosystem Services	Conformance	<p>The Entity has established procedures for the protection of Biodiversity and Ecosystem Services. A Biodiversity risk assessment report has been prepared, which includes an assessment of Ecosystem Services. The Entity has developed a Biodiversity Management Plan that includes the evaluation of risks and the Materiality of the impacts on Biodiversity related to the activities and land use in its Area of Influence.</p>
8.4 Alien Species	Conformance	<p>The Entity proactively prevents the accidental or deliberate introduction of Alien Species that may have significant adverse impacts on Biodiversity. The Entity has implemented a program to control exotic and invasive species and flora and fauna monitoring programs report the presence/absence of exotic species in its Area of Influence every six months.</p> <p>The Entity follows the processes and standards determined by the Ministry of Agriculture as per National MAPA Standard #32 for the acquisition of wood products and by-products.</p>
8.5a-b Commitment to "No Go" in World Heritage Properties	Conformance	<p>The Entity does not undertake activities, nor occupies spaces or areas considered as within World Heritage Properties. The Entity has demonstrated that the changes to Facilities derived from investments have been developed within the current site and do not exceed the limits of the Entity's Facilities. The Entity regularly evaluates areas according to their protected classification as part of the licensing process. The Entity has conducted its mining activities in accordance with Applicable Law and has no current or planned operations in World Heritage Properties.</p>
8.6a-d Protected Areas	Conformance	<p>The Entity has conducted a study on the overall impact that development activities could have on the environment, surrounding areas, and Biodiversity and Ecosystem Services. The study confirmed that there are no Protected Areas within the Entity's Area of Influence. The Entity demonstrates that they do not undertake activities nor occupy spaces or areas considered as Protected Areas.</p>
8.6e Protected Areas - Bauxite Mining	Conformance	<p>The Entity has conducted a study on the overall impact that development activity could have on the environment, surrounding areas, Biodiversity, and Ecosystem Services. The study confirmed that there are no Protected Areas within the Entity's Area of Influence. The Entity has demonstrated that the changes in the installations derived from investments on the current site do not exceed the limits of the</p>

CRITERION	RATING	COMMENT
		Entity's Facilities. The Entity demonstrates that they do not undertake activities nor occupy spaces or areas considered as Protected Areas.
8.7a-i Mine Rehabilitation	Conformance	<p>The Entity has developed and is currently applying a new rehabilitation technique that involves less movement of materials, and a more efficient and effective coverage of the area to be rehabilitated, as well as reduced greenhouse gas emissions, since the use of machinery and equipment is being optimised. In this way, the Entity can optimise the management of operational resources and thus increase the number of rehabilitated areas.</p> <p>The Entity has appropriate documentation to forecast costs and financial provisions relating to closure and mining areas. Actions on the closure and rehabilitation of areas are outlined in the following: Sustainability Report, on Page 84: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p> <p>ESG Performance 2023 (Brazil) on Page 40: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p> <p>All information is available for public consultation by any interested party on the website of the Pará Secretariat for the Environment and Sustainability. Interested parties can access the information using a specific protocol code or individually access each available document. Refer to: https://monitoramento.semas.pa.gov.br/simlam/index.htm</p>
9. HUMAN RIGHTS		
9.1a-d Human Rights Due Diligence	Conformance	<p>The Entity has assessed the impacts and risks of its operations, which included a Human Rights Due Diligence process. They have implemented Human Rights measures approved by senior management that are implemented at all relevant levels. A summary of this assessment is available at: https://www.alcoa.com/brasil/pt/sustainability/pdf/due-diligence-de-direitos-humanos.pdf</p> <p>Other relevant information includes: Alcoa's Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>Social Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/social-policy/social-policy-en.pdf</p> <p>Code of Conduct and Ethics: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/code-conduct/Code_Conduct_English.pdf</p> <p>Indigenous Peoples Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</p>

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9.2a-e Gender Equity and Women's Empowerment	Conformance	<p>The Entity has implemented a Human Rights Policy to remove barriers to professional development, Discrimination, Violence, and Harassment, include those specific to women. The Entity has established a program that promotes gender equity and women's empowerment which is reviewed periodically and the effectiveness of the measures taken to promote gender equality are publicly disclosed annually and in the Alcoa 2023 Sustainability Report (pages 61 to 67): https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf and</p> <p>Performance ASG 2023 (Brazil) Pages 30 to 32: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf</p>
9.3a-i Indigenous Peoples	Conformance	<p>The Entity has implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including the International Labour Organisation (ILO) Convention C169 and the UN Declaration on the Rights of Indigenous Peoples. The Entity's Human Rights Policy is available to Stakeholders: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-en.pdf</p> <p>The Entity's Indigenous Peoples Policy dedicated to Indigenous Peoples is available to Stakeholders: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/indigenous-peoples-policy/Indigenous-Peoples-Policy-English.pdf</p> <p>Even though the Entity does not have Indigenous communities directly affected by its operations, it maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Indigenous Peoples.</p> <p>The populations are 'extractivists' and riverside dwellers, considered traditional in Brazil, according to the National Policy on Traditional Populations. For this reason, there is a special process of consultation, consent and agreements with these communities. With regard to projects that support livelihoods, the initiatives that the Alcoa Institute promotes through its Local Project Support Program, whose central strategy is to provide financial support for local projects developed by civil society organisations and/or the public sector in the priority areas of education, with a focus on primary education and the generation of work and income. Specifically, four projects were approved in 2023. The program has annual invitations for proposals, providing investment opportunities for projects with the potential to generate work and income, totalling ten projects with investments in 2022 and 2023.</p>
9.4a Free, Prior, and Informed Consent (FPIC) – New Projects or Major Changes	Conformance	<p>The Entity has implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including ILO Convention C169 and the UN Declaration on the Rights of Indigenous Peoples.</p> <p>Even though the Entity does not have Indigenous communities directly affected by its operations, it maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Indigenous Peoples.</p>

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9.4b Free, Prior, and Informed Consent (FPIC) - Bauxite Mining	Conformance	<p>The Entity has implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including ILO Convention C169 and the UN Declaration on the Rights of Indigenous Peoples.</p> <p>Even though the Entity does not have Indigenous communities directly affected by its operations, it maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Indigenous Peoples.</p>
9.4c Free, Prior, and Informed Consent (FPIC) - Demonstrate support	Conformance	<p>The Entity has implemented Policies and processes to ensure respect for the rights and interests of Indigenous Peoples in accordance with international standards, including ILO Convention C169 and the UN Declaration on the Rights of Indigenous Peoples.</p> <p>Even though the Entity does not have Indigenous communities directly affected by its operations, it maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Indigenous Peoples.</p>
9.5a Cultural and Sacred Heritage - Identification	Conformance	<p>The Entity has implemented procedures for the identification of sacred and/or cultural heritage sites and values within its Area of Influence. According to its operating licence, the Entity implements the technical requirement for the communication and mandatory preservation of identified archaeological sites in its Area of Influence.</p>
9.5b Cultural and Sacred Heritage - Impacts	Conformance	<p>No cultural or sacred heritage sites have been identified in locations where the Entity operates. However, as part of the Entity's capital expenditure due diligence process, prior to any new mining activities and the licensing process, archaeological, cultural and/or sacred heritage sites require evaluation as required by the National Historic and Artistic Heritage Institute (IPHAN).</p>
9.6a-i Displacement	Conformance	<p>The Entity maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Local Communities by taking into account viable alternatives to avoid or minimise physical and/or economic displacement, balancing environmental, social and financial costs and benefits, paying special attention to the impacts on the poor and vulnerable, including women.</p> <p>As part of the ongoing operations, the Entity conducted a technical study and issued a report on environmental impacts. Resettlement was required for thirty-two families directly affected by the project. The Entity provided financial compensation to the families and monitored their adaptation to their new conditions and implemented social programs such as facilitating formal education.</p> <p>In future, if a situation where physical displacement becomes unavoidable, the Entity, in consultation and cooperation with the affected parties, will develop a Resettlement Action Plan that complies with Applicable Law, regardless of the number of people affected.</p>
9.7a-h Affected Populations and Organisations	Conformance	<p>The Entity respects the legal and customary rights and interests of Local Communities in their land and livelihoods and in their use of natural resources. The Entity has defined documented policies and procedures to identify and assess the legal and customary rights of Local Communities. The Human Rights Due Diligence process identified impacts to the lands and livelihoods of Stakeholders.</p>

CRITERION	RATING	COMMENT
		<p>The Entity maintains consistent operational and risk management procedures, policies and processes with the aim of ensuring respect for the rights and interests of Local Communities, taking into account viable alternatives to avoid or minimise physical and/or economic displacement, balancing environmental, social and financial costs and benefits.</p> <p>The Entity has engaged with Local Communities regarding the development of actions and plans to prevent and/or mitigate adverse impacts on their livelihoods.</p> <p>The Entity utilises Alcoa's Group-wide Stakeholder Engagement Process to ensure positive Stakeholder relationships and effective means for resolving Community concerns. This process includes guidelines for engagement with Local Communities via employee volunteer activities as well as working with local Non-Government Organisations (NGOs) to support community initiatives via Alcoa Foundation funding.</p>
9.8a Conflict-Affected and High-Risk Areas – Strong Management Systems	Not Applicable	This Criterion is not applicable to the Entity as it does not directly or indirectly acquire any Bauxite, Alumina or Primary Aluminium from any supplier other than itself, and does not operate in CAHRAs, and therefore does not have significant CAHRA-related risks.
9.8b Conflict-Affected and High-Risk Areas – Identify and assess risks	Not Applicable	This Criterion is not applicable to the Entity as it does not directly or indirectly acquire any Bauxite, Alumina or Primary Aluminium from any supplier other than itself, and does not operate in CAHRAs, and therefore does not have significant CAHRA-related risks.
9.8c Conflict-Affected and High-Risk Areas – Strategy to respond to risks	Not Applicable	This Criterion is not applicable to the Entity as it does not directly or indirectly acquire any Bauxite, Alumina or Primary Aluminium from any supplier other than itself, and does not operate in CAHRAs, and therefore does not have significant CAHRA-related risks.
9.8d Conflict-Affected and High-Risk Areas – Audit of due diligence	Conformance	The Entity's Due Diligence processes were included in the scope of this ASI Performance Standard Certification Audit and addresses this requirement.
9.8e Conflict-Affected and High-Risk Areas – Report annually	Not Applicable	This Criterion is not applicable to the Entity as it does not directly or indirectly acquire any Bauxite, Alumina or Primary Aluminium from any supplier other than itself, and does not operate in CAHRAs, and therefore does not have significant CAHRA-related risks.
9.9 Security practice	Conformance	The Entity has a private security process that respects the national laws in accordance with recognised Standards. The security guard team has been trained in the Voluntary Principles on Security and Human Rights. There is no use of weapons by the local security force. Agents receive training addressing this issue very clearly, which is included in the Work Instruction at each surveillance post.
10. LABOUR RIGHTS		
10.1a-c Freedom of Association and Right to Collective Bargaining	Conformance	The Entity supports the Freedom of Association and Collective Bargaining and respects the right of its Workers to form, join or not join a Union without fear of reprisal, intimidation or Harassment. Where employees are represented by a legally recognised Union, the Entity is committed to establishing a constructive dialogue with the Workers'

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		<p>freely elected representatives. The Entity negotiates in good faith with such representatives.</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/human-rights-policy/human-rights-policy-pt-b.pdf</p>
10.1d Freedom of Association and Right to Collective Bargaining – Alternative means in context of Applicable Law	Not Applicable	<p>This Criterion is not applicable to the Entity, as there is no legal restriction to the right of Freedom of Association and Collective Bargaining in Brazil.</p>
10.2a Child Labour	Conformance	<p>The Entity does not use nor support the use of Child Labour and only employs Workers over the legal minimum age and in accordance with its Code of Conduct. For further information, refer to: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p> <p>The Entity only employs Workers over 18 years, as described in the Human Rights Policy: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p>
10.3a-c Forced Labour	Conformance	<p>The Entity does not use nor support the use of Forced Labour, slave labour or Human Trafficking and complies with the Alcoa Human Rights Policy and Code of Conduct: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/human-rights-policy</p> <p>https://www.alcoa.com/global/en/who-we-are/ethics-compliance/code-conduct</p> <p>The Entity does not require any form of deposit, Recruitment Fee or equipment advance from Workers either directly or through employment or recruitment agencies. The Entity does not require Migrant Workers to lodge deposits or security payments at any time. Interviews and verification records of Workers confirmed that the Entity does not keep original copies of Workers' documents. The Entity does not use agencies to hire employees.</p> <p>The Entity does not engage in, nor supports the use of Forced Labour, including denying Workers the freedom to terminate their employment.</p> <p>The Entity has released an annual Modern Slavery Statement detailing their actions to address Modern Slavery. Refer to: https://www.alcoa.com/sustainability/pdf/2024-Modern-Slavery-Statement.pdf</p>
10.4a-c Non-Discrimination	Conformance	<p>The Entity has practices of engaging and supporting diversity groups including the Alcoa Women's Network (AWN), AWARE, ABLE and EAGLE, and the Code of Conduct supports this practice. The Human Rights Policy also refers to non-Discriminatory acts and does not tolerate any kind of discriminatory Harassment. Training with employees and managers is held frequently to disseminate this important value of the Entity.</p> <p>The Entity has implemented a Compensation Policy, with the objective of attracting, rewarding and retaining professionals through the adoption of a compensation program that is consistent with the position held by the employee and competitive with the market.</p>

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		<p>The Entity also has implemented an Equal Employment Opportunity Policy, which ensures that opportunities must be equal and based on qualifications and experience. Employees, contractors and candidates must not be discriminated against or treated unfairly based on characteristics unrelated to work.</p> <p>The Entity has previously been recognised for its actions on behalf of gender and racial equality, people with disabilities and the promotion of LGBTI+ rights. Furthermore, the Entity is certified by GPTW (Great Place To Work), refer to: https://certificadas.gptw.com.br/06167730000591</p>
10.5 Communication and engagement	Conformance	<p>The Entity ensures open communication and direct engagement with Workers and their representatives regarding working conditions and resolution of workplace and compensation issues, without the threat of reprisal, intimidation, or Harassment.</p> <p>Reports can be made through the following channels: https://secure.ethicspoint.com/domain/media/en/gui/29154/index.html (Global) E-mail: EthicsandCompliance@alcoa.com (Global) Phone: 0800-891-2552 (Brazil only)</p>
10.6a-g Violence and Harassment	Minor Non-Conformance	<p>The Entity does not engage in nor tolerates the use of corporal punishment, mental or physical coercion, Harassment and gender-based Violence, including sexual harassment, or verbal abuse of Workers.</p> <p>The Entity ensures open communication with Workers on the working conditions and there is no threat of retaliation, intimidation or Harassment, and deduction of wages is not used as a disciplinary practice. For more information, refer to: https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/harassment-bullying-free-workplace/Harassment-and-Bullying-Free-Workplace-Policy-PTB.pdf</p> <p>There is no evidence however that the implementation of the Entity's Violence and Aggression Policy has been undertaken in consultation with Workers and their representatives, nor validated the identification of risks and risks of Violence and Harassment.</p>
10.7a-c Remuneration	Conformance	<p>The Entity has implemented a Remuneration Policy that ensures Workers receive adequate remuneration paid as a monthly salary. The Entity pays salaries monthly as defined by local legislation. Overtime is also paid appropriately.</p>
10.8a-c Working Time	Conformance	<p>The Entity complies with local legislation regarding Working Time, including Overtime, holidays and paid annual leave.</p>
10.9a-b Informing Workers of Rights	Conformance	<p>The Entity demonstrates that all Workers sign an employment contract in which the terms of their contract, as well as their rights and duties, are formalised. Workers receive all necessary guidance through an integrated training process, where they are informed on all Human Resources, Health, Safety and other procedures. Additionally, all Workers have access to Alcoa's Help Line, which can be used whenever they have any questions, including matters related to their rights.</p> <p>During the Audit, Workers confirmed that they have free access to Union directors at the Union headquarters and inside the plant. The</p>

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		Union has direct communication channels with its members and is free to call a meeting at any time to deliberate on matters related to their category.
11. OCCUPATIONAL HEALTH AND SAFETY		
11.1a Occupational Health and Safety (OH&S) Management System	Conformance	<p>The Entity has appropriate procedures to manage and maintain its Occupational Health and Safety (OH&S) Management System. The Entity has defined and communicated its OH&S Policy and has appropriate procedures to sustain its OH&S Management System. The Entity's OH&S Management System is certified to ISO 45001:2018.</p> <p>For more details refer to: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf and https://www.alcoa.com/global/en/who-we-are/ethics-compliance/pdf/ehs-policy/EHS-Vision-Values-Mission-and-Policy-EN.pdf</p>
11.1b-e Occupational Health and Safety (OH&S) Management System - Reviews and disclosure	Conformance	<p>The Entity has implemented operational programs that support the requirements of the Management System, including for example, risk analysis, PCMSO (Programa de Controle Médico de Saúde Ocupacional), ergonomic assessments, hearing conservation and work programs for remote areas. Additionally, the Entity has incorporated routine OH&S audits into its Integrated Management System.</p> <p>The Entity publicly discloses the main OH&S indicators and comparative analysis in the following: ESG Performance 2023 (Brazil), pages 33-34: https://www.alcoa.com/brasil/pt/pdf/relatorios-sustentabilidade/Relatorio-Sustentabilidade-2023.pdf and Alcoa Sustainability Report, pages 44-48: https://www.alcoa.com/sustainability/pdf/2023-Sustainability-Report.pdf</p>
11.2 Employee engagement on Health and Safety	Conformance	<p>The Entity has implemented a joint Health and Safety Committee, through which Workers can raise, discuss and participate in the resolution of OH&S issues with management.</p> <p>The Entity has several engagement initiatives for safety programs, such as GTs (Working Groups), CIPAMIN, PARE program, Suggestion Plan (tool used for suggestions and financial recognition), recognition of the EHS tool matrix (IPI and IPG), DSS, DMS, DDS, 'Town Hall' meetings, Health and Safety campaigns and ESG and EHS forums.</p>

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	18 July 2019	Initial Certification Audit – Full Certification
1	11 July 2022	Re-Certification Audit – Full Certification
2	24 January 2024	Correction to Certified Since date from 17 July 2019 to 18 July 2019
3	15 September 2025	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply Performance Standard V3.1.
